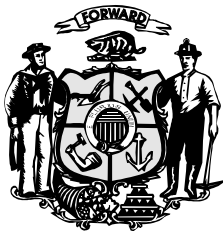


STATE OF WISCONSIN
Public Records Board

JIM DOYLE
GOVERNOR

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October 15, 2003

Governor James E. Doyle and
Members of the Legislature
State Capitol
Madison, Wisconsin 53702

Dear Governor Doyle and Members of the Legislature:

In accordance with s. 15.04 (1), Wis. Stats., the Public Records Board is submitting this report of performance and operations for the 2001-2003 biennium.

The Public Records Board has statutory responsibility for establishing policies relating to management of public records by state agencies and local governments, as well as preserving for permanent use state records of historic value. This report describes major activities the Board either sponsored or participated in during the past biennium.

Technological changes in record keeping present both opportunities and challenges for the State of Wisconsin and local governments. The Board looks forward to addressing these challenges by continuing existing partnerships and cooperative agreements with other state, federal, local, and private sector organizations with complimentary responsibilities.

Board actions are incorporated into official minutes and related supporting documentation, both of which are maintained at the Board office, at the address noted above. Questions or comments about the biennial report or any aspect of the Board's activities may be addressed to me or any other Board member.

Respectfully submitted,

A handwritten signature in cursive script, reading "Bryan Naab".

Bryan Naab, Chair
Public Records Board

Public Records Board 2001-2003 Biennial Report

The Public Records Board consists of the designees of the Governor, the Director of the Wisconsin Historical Society, the Attorney General, the State Auditor, and the Director of the Joint Legislative Council staff, and a representative of the small business community, a representative of a local unit of government, and one other public member, each appointed by the Governor.

Report on Performance and Operations

1. The Public Records Board's core responsibility is authorization of destruction of state and local government records in the "normal course of business" and identification of those records with historical and research value.

The Board uses a process outlined in s. 16.61, Wis. Stats., whereby agencies organize their records into record series and propose a retention period and disposition for the record series. The Board analyzes these proposals from a statewide enterprise perspective to meet administrative, legal, financial, and historical statewide interests.

Retention refers to the length of time that records are retained. Because the values of records vary, retention periods also vary from no retention (immediate destruction) to permanent retention. There are three common retention periods:

- Creation plus a period of time – The retention period starts when a record is created or received and covers a specified period of time.
- Event plus a period of time – The retention period starts when a record is created or received and ceases a specified period of time after a specific event occurs. For example, an event may be the date a license terminates or the date a debt is repaid.
- Current fiscal year plus a number of back fiscal years - Records are retained grouped by fiscal year.

Records possess administrative, fiscal, legal, and historical values. The Public Records Board assesses record series for minimum retention requirements based on these values. The Governor's designee analyzes statewide administrative value; the Legislative Audit Bureau representative focuses on fiscal and audit values; the Department of Justice representative focuses on legal value; and the State Historical Society representative examines records for historical and research values.

Records must be retained at least as long as required to satisfy these records values even if such a period of time exceeds the agencies' identified administrative need for the record.

Disposition is what happens to the record series when the retention time period is completed. The most common disposition is destruction. A small percentage of records have historical or research value and are forwarded to the Wisconsin Historical Society or designated University of Wisconsin archival repository for permanent retention.

Because all agencies have common administrative records for personnel, accounting, payroll, and other common functions, the Public Records Board promotes the development and use of general records schedules. General schedules analyze record-keeping relationships within and between state agencies. The objective is to identify the most important copy of record series from both a statewide and agency perspective. Once this is done, other copies of the records are working copies used for convenience purposes. Working copies can be identified with a short-term retention period such as "use and destroy."

In March 2002, the Public Records Board, working with program officials, approved a general records retention/disposition schedule for Budget and Budget Related Records. This schedule, consisting of forty-one record series covers all facets of the biennial budget process, including records maintained by the Department of Administration (DOA) State Budget Office as well as agency budget offices

In May 2002, the Board approved a revised General Schedule for Common Records granting local units of government discretion to destroy certain low-value records such as certain routine activity and production reports; routine scheduling records; suspense files; tracking and control files; and defined-types of transitory files.

In April 2003, the Board approved a major revision of the general records schedule for Purchasing and Procurement Related Records. This document covers purchasing and related records for all state agencies and the University of Wisconsin System.

Several large state agencies such as the Department of Health and Family Services and UW-Madison also have developed and implemented, with Board approval, agency-wide general record schedules for similar purposes.

Attachment A provides summary information on records scheduling activities of the Board. Attachment B identifies the amount of records that were destroyed and/or transferred to the Wisconsin Historical Society from the State Records Center based on Board-approved retention/disposition authorizations. Note that records can be destroyed or transferred without using the State Records Center; therefore, these statistics do not represent totals for the State.

2. Coordination/partnerships between the Public Records Board and other organizations

The Board realizes that in order to do its work it must partner with organizations that have complimentary missions and power to obtain agency cooperation and compliance. Chief among these organizations is DOA and the Department of Electronic Government (DEG), now a division within DOA. As records continue to migrate from paper-based to electronic formats, a strategic focus on technology is particularly important.

Board members and staff participated on several technology policy related initiatives sponsored by DOA and DEG as well as other efforts to ensure records are adequately maintained.

Implementation of E-records Administrative Rule

The Board assisted DOA on the development of ADM 12, Wis. Admin. Code, which provides performance-based standards for the creation, maintenance, and use of state electronic records and information. This administrative rule, mandated by s. 16.611, Wis. Stats., became effective May 1, 2001. A Primer on Electronic Records Management Guidance on ADM 12 was developed and made available to help agencies comply with the rule.

Provision of Records Management Training

The Board co-sponsored records management training with the Madison Chapter of the Association of Records Managers and Administrators in the spring of 2002 and 2003. These training sessions bring national experts in the field of records management to Madison to provide the latest information to state and local government employees. These programs also help to raise the visibility of records management.

Both the 2002 session, which consisted of a mock legal trial designed to showcase the importance of proper records and documentation in support of litigation, and the 2003 session,

which discussed records management responsibilities under the Sarbanes-Oxely Act, focused on challenges associated with managing electronic records.

Federal Grant for an Electronic Records Management Training Curriculum

Board members and staff worked collaboratively with DOA and DEG staff in seeking federal grant funding for an electronic records management training curriculum for state and local government employees. Despite the fact that funding was not obtained, the grant application process helped to document the continuing critical need for this type of training.

Protecting Records of Organizations being Abolished or Consolidated

Several agencies or functions were eliminated, consolidated, or downsized as part of the 2003-2005 biennial state budget. Because the Board has statewide responsibility to protect the State's interest in records, the Board and staff were proactive working with the staff of such organizations to ensure that the records were protected and/or transferred to successor organizations. Those situations where there was no successor agency presented the highest risk and these agencies were identified and records-related issues addressed prior to the elimination of these agencies.

Wisconsin Historical Society Funding and Strategic Direction

Board members assisted the Wisconsin Historical Society in its efforts to define a strategic direction related to its archival function, given significant staffing reductions that the Society faced during the biennium.

3. Board Guidelines and Policy Statements relating to records management

In November 2001, the Public Records Board approved guidelines on the Permanent Retention of Records by Wisconsin State Agencies. The purpose of the guidelines was to remind agencies of their obligations to maintain the accessibility of these records over time.

Also in November 2001, the Board approved an updated policy on obtaining Board approval to dispose of or transfer public records. This updated policy reflects Board practices that have been fine-tuned over time to comply with s. 16.61(4), Wis. Stats.

Both these documents are available on the Board's Web site. From the DOA Internet site (<http://www.doa.state.wi.us/>) choose Business in DOA and then the Public Records Board.

The Board intends to provide additional guidance to state agencies detailing performance standards for maintaining authentic, accurate, reliable, and accessible public records.

4. Aligning the Board's mission with available resources-Continuing need for Board members to take on direct workload

The Public Records Board has no staff or operating budget. It receives support from the Department of Administration through an inter-agency memorandum of understanding.

The level of support DOA can provide to the Board is limited. Therefore, efforts are focused on performance of the core mission of the Board: approving disposition of state and local government records. Of necessity, Board members are taking a more direct role in the work of the Board. However, it is noted that these additional efforts are limited as well because the public members are volunteers and the state government Board representatives have their own full-time workloads.

5. Raise visibility of records management with a planned policy focus at each board meeting

To focus on statewide policy, each quarterly Board meeting was devoted, in part, to a discussion of a facet of records and or information management.

The policy focus for each quarter was:

-August 2001	Review and approval of the Guidelines on the Permanent Retention of Records by State Agencies
-November 2001	Discussion of the support for the statewide records management function by the newly created Department of Electronic Government and the Department of Administration
-March 2002	Discussion of the Uniform Electronic Transactions Act (UETA)
-May 2002	Granting local units of government discretion to destroy common records
-August 2002	Discussion of budget reductions and the potential impact on state records programs
-November 2002	Presentation on policies related to open records and privacy-balancing
-February 2003	Update on the Wisconsin Historical Society's Study of the Library and Archives and the Department of Public Instruction's Study of the State Document Depository Program
-May 2003	Presentation on historical records and the role of the Wisconsin Historical Society and discussion of state reorganization and the role of the Public Records Board

Goals and Objectives 2003-2005

1. Continued development of functional general records schedules

Based on strategic planning and analysis of other state records programs, the Board continues to believe that developing and implementing general records schedules by functional area within state government presents the best opportunity to maximize resources and obtain results.

In the next biennium, the Board will allocate resources to update and reissue general records schedules in the areas of fiscal and accounting, personnel, risk management, and fleet management records. General schedules may be developed in other functional areas depending on resource availability and the ability to obtain sponsors.

2. Support agency records management programs and staff

In Wisconsin's decentralized environment, agency records management officers are critically important to the success of the program. These positions are responsible for directing the management of public records within their organizations.

The Board supports efforts to provide training and resources for these positions. With rapid technological change, agency records officers must be prepared to assist agency program officials to ensure that the Board's established performance standards for records are met.

In particular, the problems of smaller state agencies without sufficient resources to devote to records-related issues must be addressed. Possible solutions include: sharing a records management officer among several agencies; contracting for consultants; or providing the Board with resources to provide direct services to these agencies.

3. Develop policy guidance for agencies in all areas that the Board has statutory responsibilities, partnering with other state agencies with compatible missions

The Board intends to continue current successful partnering efforts with the Department of Administration. The groundwork is in place based on past cooperative efforts. Other areas for collaboration, such as with the state attorneys and the library community, will also be pursued.

The Board is also interested in partnering with other groups with a statewide focus that exist or may be created where there is a clear, mutual interest, and compatible goals and program objectives.

4. Participate in standard setting for electronic document management systems software to ensure systems comply with Board statutes, administrative rules, and policies

In the event the State of Wisconsin develops a standard for electronic document management software, the Board must be involved to ensure that the system facilitates records management goals and the Board's statutory responsibilities. Opportunities may exist for integration of records management with document management software to provide tools for management of records that are increasingly being created and maintained in electronic and magnetic media.

5. Protecting statewide interests in records in light of possible further government downsizing

It is possible that additional state agencies or functions will be eliminated, consolidated, or downsized in the future. Because the Board has statewide responsibility to protect the State's interest in records, the Board and staff will continue to work with agency staff and DOA staff to ensure that records are properly managed and protected from premature destruction.

Attachments

Attachment A: Authorized Public Records Board Destruction and Transfer of State Records from the State Records Center

	<u>State Agencies</u>	<u>CF Destroyed</u>	<u>CF Transferred to WHS</u>
July 2001	32	6,300	300
January 2002	19	11,400	300
July 2002	25	4,100	500
January 2003	45	<u>16,500</u>	<u>450</u>
Biennial Total		38,300	1,550

CF=Cubic feet. Each standard Records Center carton is 1.2 cubic foot.
WHS is the Wisconsin Historical Society

Attachment B: Summary Statistics-Agency Records Scheduling Activity

There are over 10,000 records series established for state and local governments in Wisconsin. A small agency such as the Arts Board is a single agency unit with 14 unique record series. A large agency such as UW-Madison, excluding the UW Hospital and Clinics, has over one hundred sub-units, and hundreds of unique record series.

August 2001 Board Meeting

1. General Schedules Adopted

-Data Security and Related Records for state agency use

2. State Agency Specific Records Retention Schedules

-15 agencies requested Board approval of record series-163 records series approved

3. Local Units of Government Specific Retention Schedules

-Grant County Records Retention Ordinance
-Waukesha County-Revisions adding 4 series
-City of Waukesha Police Department-40 series
-City of Milwaukee-17 series
-City of Superior/Douglas County Communications Center-1 series

November 2001 Board Meeting

1. General Schedules Adopted

None

2. State Agency Specific Records Retention Schedules

-16 agencies requested Board approval of record series-64 records series approved

3. Local Units of Government Specific Retention Schedules

-Florence County- County-wide Records Management and Retention Ordinance
-Langlade County-Records Retention Ordinance for Department of Social Services
-Marquette County-County-wide Records Management and Retention Ordinance
-Price County-County-wide Records Management and Retention Ordinance
-Waukesha county-amendments to existing county-wide records schedules
-Village of Spring Valley-Records Retention Ordinance
-City of Sheboygan Police Department-one series

March 2002

1. General Schedules Adopted

-Budget and Related Records for State Agencies

2. State Agency Specific Retention Schedules

-11 agencies requested Board approval of record series-139 records series approved

3. Local Units of Government Specific Retention Schedules

- Eau Claire County-Amendments to existing Records Retention Ordinance
- Portage County-Records Retention Ordinance
- City of Chetek Records Destruction Ordinance
- City of Madison-one series
- City of Sheboygan Police Department-one series

May 2002

1. General Schedules Adopted

- None

2. State Agency Specific Retention Schedules

- 16 agencies requested Board approval of record series-296 records series approved

3. Local Units of Government Specific Retention Schedules

- Polk County Records Retention Policy and Ordinance
- City of Waukesha Police Department-additions and deletions
- Waukesha County - additions and deletions for 12 county departments

August 2002

1. General Schedules Adopted

- None

2. State Agency Specific Retention Schedules

- 12 agencies requested Board approval of record series-135 records series approved

3. Local Units of Government Specific Retention Schedules

- Lincoln County Records Management and Retention Ordinance-Countywide
- Racine County Sheriff-one record series approved
- Sawyer County Records Management and Retention Ordinance
- Village of Shorewood Health Department-23 record series
- City of Park Falls Police Department-43 record series

November 2002

1. General Schedules Adopted

- None

2. State Agency Specific Retention Schedules

- 12 agencies requested Board approval of record series-250 records series approved

3. Local Units of Government Specific Retention Schedules

- Village of Fox Point Police Department-one record series
- City of Elkhorn Clerk's Office-45 record series
- City of Elkhorn Treasurer's Office-24 record series

February 2003

1. General Schedules Adopted

- None

2. State Agency Specific Retention Schedules

- 10 agencies requested Board approval of record series-51 records series approved

3. Local Units of Government Specific Retention Schedules

- City of Elkhorn Clerk/Treasurer-13 record series
- City of Brookfield Engineering Division-21 record series
- City of Brookfield City Clerk-49 record series
- Waukesha County-revision to one record series

May 2003

1. General Schedules Adopted

- Purchasing and Procurement General Records Schedule

2. State Agency Specific Retention Schedules

- 15 agencies requested Board approval of record series-89 records series approved

3. Local Units of Government Specific Retention Schedules

- Unified Board (Social Services Department) Records Retention Ordinance
- City of Sheboygan Police Department-one record series
- Waukesha County-Revisions to Probate Court and Register of Deeds
- City of Brookfield Assessors Office-18 record series
- City of Brookfield Information Technology-nine series
- City of Brookfield City Attorney's Office-seven record series
- City of Oconomowoc Police Department-two record series
- Waukesha County Municipal Law Enforcement Recruitment Ass.-seven record series

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